

**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 004085.P015D

(maximum 12 characters)

First Named Inventor Bruce M. HarperTitle: BALANCE RINGExpress Mail Label No. EV409362921US

ADDRESS TO: Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original and a duplicate for fee processing)
2. ☐ **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3. ☒ **Specification (Total Pages 30)**  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ **Drawings(s) (35 USC 113) (Total Sheets 16)**
5. ☒ **Oath or Declaration (Total Pages 5)**
  - a. ☐ Newly Executed (Original or Copy)
  - b. ☒ Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 18 completed)
    - i. ☐ **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
  - c. ☐ Unsigned.
6. ☐ **Application Data Sheet. (37 CFR 1.76)**
7. ☐ **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8. ☐ **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies



**FEE TRANSMITTAL FOR FY 2004**

(FY 2004 Begins 10/01/2003)

**TOTAL AMOUNT OF PAYMENT (\$)** 770.00

Complete if Known:

Application No. Not yet assignedFiling Date HerewithFirst Name and Inventor Bruce M. HarperExaminer Name Not yet assignedArt Unit Not yet assignedAttorney Docket No. 004085.P015D☐ Applicant claims small entity status. See 37 CFR 1.27.**METHOD OF PAYMENT (check all that apply)**☒ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None☒ Deposit AccountDeposit Account Number : 02-2666

Deposit Account Name: \_\_\_\_\_

☒ The Director is Authorized to do the following with respect to the above-identified Deposit Account:☐ Charge fee(s) indicated below.☒ Credit any overpayments.☒ Charge any additional fees during the pendency of this application.☒ Any concurrent or future reply that requires a petition for extension of time should be treated as incorporating an appropriate petition for extension of time and all required fees should be charged.☐ Charge fee(s) indicated below except for the filing fee.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
1001	770	2001	385	Utility application filing fee	<u>770.00</u>
1002	340	2002	170	Design application filing fee	_____
1003	530	2003	265	Plant filing fee	_____
1004	770	2004	385	Reissue filing fee	_____
1005	160	2005	80	Provisional application filing fee	_____
SUBTOTAL (1)					<u>\$ 770.00</u>

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

		Extra Claims		Fee from below		Fee Paid	
		- 20** =	_____	X	18.00	=	0
		- 3** =	_____	X	86.00	=	0
Total Claims <u>8</u>							
Independent Claims <u>1</u>							
Multiple Dependent							

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description
Code	Fee (\$)	Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 0

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

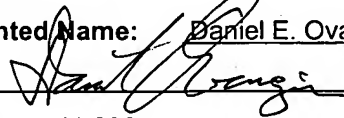
<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Code</u>	<u>Fee (\$)</u>	<u>Code</u>	<u>Fee (\$)</u>		
1051	130	2051	65	Surcharge - late filing fee or oath	_____
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	_____
1053	130	1053	130	Non-English specification	_____
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	_____
1813	8,800	1813	8,800	Request for inter parties reexamination	_____
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	_____
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	_____
1251	110	2251	55	Extension for reply within first month	_____
1252	420	2252	210	Extension for reply within second month	_____
1253	950	2253	475	Extension for reply within third month	_____
1254	1,480	2254	740	Extension for reply within fourth month	_____
1255	2,010	2255	1,005	Extension for reply within fifth month	_____
1401	330	2401	165	Notice of Appeal	_____
1402	330	2402	165	Filing a brief in support of an appeal	_____
1403	290	2403	145	Request for oral hearing	_____
1451	1,510	1451	1,510	Petition to institute a public use proceeding	_____
1452	110	2452	55	Petition to revive - unavoidable	_____
1453	1,330	2453	665	Petition to revive - unintentional	_____
1501	1,330	2501	665	Utility issue fee (or reissue)	_____
1502	480	2502	240	Design issue fee	_____
1503	640	2503	320	Plant issue fee	_____
1460	130	1460	130	Petitions to the Commissioner	_____
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	_____
1806	180	1806	180	Submission of Information Disclosure Stmt	_____
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	_____
1809	770	2809	385	For filing a submission after final rejection (see 37 CFR 1.129(a))	_____
1814	110	2814	55	Statutory Disclaimer	_____
1810	770	2810	385	For each additional invention to be examined (see 37 CFR 1.129(b))	_____
1801	770	2801	385	Request for Continued Examination (RCE)	_____
1802	900	1802	900	Request for expedited examination of a design application	_____
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	_____
1505	300	1505	300	Publication fee for republication	_____
1803	130	1803	130	Request for voluntary publication or republication	_____
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	_____
1454	1,330	1454	1,330	Acceptance of unintentionally delayed claim for priority	_____

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$** \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Daniel E. OvanezianSignature:  Date: 11/12/03Reg. Number: 41,236 Telephone Number: (408) 720-8300

Send to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

<b>ACCOMPANYING APPLICATION PARTS</b>	
9.	Assignment Papers (cover sheet & documents(s))
10.	a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
11.	X      b. Power of Attorney
12.	English Translation Document (if applicable)
13.	X      a. Information Disclosure Statement (IDS)/PTO-1449
14.	X      b. Copies of IDS Citations
15.	X      Preliminary Amendment
16.	X      Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
17.	Certified Copy of Priority Document(s) (if foreign priority is claimed)
18.	X      Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). <u>Applicant must attach form PTO/SB/35 or its equivalent.</u>
19A.	X      Other: <u>Certificate of Express Mail with copy of postcard showing contents of</u> <u>Express Mail package.</u>
17B. <u>X</u> Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.	
18. If a <b>CONTINUING APPLICATION</b> , check appropriate box, and supply the requisite information below <u>and</u> in a preliminary amendment, or in an Application Data Sheet Under 37 C.F.R. 1.76: <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span><u>Continuation</u>      <u>X</u>      <u>Divisional</u>      <u>Continuation-in-part (CIP)</u></span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>Of Prior Application No.: <u>09/916,144</u></span> <span>Examiner <u>Klimowicz, William Joseph</u> Group Art Unit <u>2652</u></span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>(which is a <u>continuation</u>/ <u>divisional</u>/ <u>CIP</u> of prior application no. _____)</span> <span>(which is a <u>continuation</u>/ <u>divisional</u>/ <u>CIP</u> of prior application no. _____) (List entire chain of priority)</span> </div>	
Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority. For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.	
19. Correspondence Address <div style="display: flex; justify-content: space-between;"> <span style="width: 45%; border-bottom: 1px solid black;">Customer Number or Bar Code Label</span> <span style="width: 50%; border-bottom: 1px solid black;">(Insert Customer No. or Attach Bar Code Label)</span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span><u>X</u>      Correspondence Address Below</span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>NAME <u>Daniel E. Ovanezian</u></span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>ADDRESS <u>BLAKELY, SOKOLOFF, TAYLOR &amp; ZAFMAN LLP</u></span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span><u>12400 Wilshire Boulevard</u></span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span><u>Seventh Floor</u></span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>CITY <u>Los Angeles</u></span> <span>STATE <u>California</u></span> <span>ZIP CODE <u>90025-1026</u></span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>Country <u>U.S.A.</u></span> <span>TELEPHONE <u>(408) 720-8300</u></span> <span>FAX <u>(408) 720-8383</u></span> </div>	
<div style="display: flex; justify-content: space-between;"> <span>Name (PRINT/TYPED): <u>Daniel E. Ovanezian</u></span> <span>Registration No.: <u>41,236</u></span> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <span>Signature: <u>[Signature]</u></span> <span>Date: <u>11/12/03</u></span> </div>	

**REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)**First Named Inventor Bruce M. Harper  
Title BALANCE RINGAttorney Docket No. 004085.P015D

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

11/12/03  
Date  
SignatureDaniel E. Ovanezian  
Typed or Printed Name41,236  
Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

EV40936292145

"Express Mail" mailing label number: 11/12/03

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

JUANITA BRISCOE  
(Typed or printed name of person mailing paper or fee)

[Signature]  
(Signature of person mailing paper or fee)

11/12/03  
(Date signed)

Serial/Patent No.: Not yet assigned Filing/Issue Date: 11/12/03

Client: KOMAG, INC.

Title: BALANCE RING

Attorney/Initials: DEO/jb

Docket Due Date: 11/12/03

BSTZ File No.: 004085, P015D

Date Mailed: 11/12/03

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon: 11/12/03 Check No. 61196

- ☐ Amendment/Response (— pgs.)
- ☐ Appeal Brief (— pgs.) (in triplicate)
- ☐ Application - Utility (— pgs., with cover and abstract)
- ☐ Application - Rule 1.53(b) Continuation (— pgs.)
- ☒ Application - Rule 1.53(b) Divisional (30 pgs.)
- ☐ Application - Rule 1.53(b) CIP (— pgs.)
- ☐ Application - Rule 1.53(d) CPA Transmittal (— pgs.)
- ☐ Application - Design (— pgs.)
- ☐ Application - PCT (— pgs.)
- ☐ Application - Provisional (— pgs.)
- ☐ Assignment and Cover Sheet
- ☐ Certificate of Mailing
- ☒ Declaration & POA (5 pgs.)
- ☐ Disclosure Docs & Orig & Copy of Inventor's Signed Letter (— pgs.)
- ☒ Drawings: 16 # of sheets includes 20 figures

☒ Other: Request & Certification under 35 USC 122(b)(2)(B)(i)

Cited Art (1)

Express 11/12/03 Extension of Time Month(s) Amt: \$770  
Information Disclosure Statement & PTO-1449 (— pgs.) ☐ Amt:       
Issue Fee Transmittal ☐ Amt:       
Notice of Appeal ☐ Amt:       
Petition for Extension of Time ☐ Amt:       
Petition for ☐ Amt:       
Postcard ☐ Amt:       
Power of Attorney (— pgs.) ☐ Amt:       
Preliminary Amendment (5 pgs.) ☐ Amt:       
Reply Brief (— pgs.) ☐ Amt:       
Response to Notice of Missing Parts ☐ Amt:       
Small Entity Declaration for Indep. Inventor/Small Business ☐ Amt:       
Transmittal Letter, in duplicate ☐ Amt:       
Fee Transmittal, in duplicate ☐ Amt: